



Local Programs Procedures

LPP 04-08 Manual Update

Subject: Bicycle Transportation Account (BTA)

Reference: Chapter 21, “Bicycle Transportation Account Program (BTA)”, Chapter 1, “Introduction/Overview,” Chapter 5, “Congestion Mitigation and Air Quality (CMAQ),” and Chapter 8, “Transportation Enhancement Activities (TEA)” of the *Local Assistance Program Guidelines* (LAPG).

Effective Date: September 9, 2004

Approved: **Original Signed By**

TERRY L. ABBOTT, Chief
Division of Local Assistance

WHAT IS AN LPP?

LPPs are Local Programs Procedures. These documents are used for the rapid deployment of new procedures and policies between updates of Local Assistance manuals, guidelines and programs. They are numbered according to calendar year and order in which released. This is the 8th

LPP issued in 2004; hence, it is LPP 04-08.

PURPOSE

The purpose of this LPP is to update Chapter 21 “Bicycle Transportation Account (BTA)” of the *Local Assistance Program Guidelines* (LAPG). Chapter 21 contains information and instructions on the Bicycle Transportation Account program, which provides state funds for city and county projects that improve safety and convenience for bicycle commuters. The update will clarify and streamline program requirements and processes.

BACKGROUND

The last revisions to Chapter 21 “Bicycle Transportation Account” were published November 16, 1998, February 16, 2001, and August 28, 2003.

**USER-FRIENDLY FEATURES**

- These new procedures are incorporated in the electronic version of the *Local Assistance Program Guidelines* (LAPG) that is available at the Division of Local Assistance (DLA) Home page on the Internet at: <http://www.dot.ca.gov/hq/LocalPrograms/>. Once there, click on “Publications” and then click on File/Link: lapg.htm. for “*Local Assistance Program Guidelines*.” You may also purchase a Compact Disc (CD), which acts as a one-stop shop for information and promotes flexible access to helpful information for local project delivery.
- This LPP revises Chapter 21 and will replace the entire Chapter 21 in the current hardcopy of the LAPG. The affected pages of Chapters 1, 5, 8, which had been revised in this LPP can be easily inserted into the existing hard copies of the LAPG.
- To receive an electronic notification when new information is posted on the DLA web site, please subscribe to the DLA list server at:
<http://www.dot.ca.gov/hq/LocalPrograms/sub.htm>
- Comments and suggestions for improvement to the manual or the processes and procedures are welcome. They may be submitted to:

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SUMMARY OF CHANGES

LAPG Item	Change
Chapter 1, Exhibit 1-A, page 1-7	Updated BTA funding requirement.
Exhibit 1-B, page 1-9	Under <i>Program</i> column: replaced “ <i>Bicycle Lane Account</i> ” with “ <i>Bicycle Transportation Account (BTA)</i> ”. Under <i>Eligible Uses of Funds</i> column: changed “ <i>bicycle</i> ” to “ <i>bikeways</i> ”.

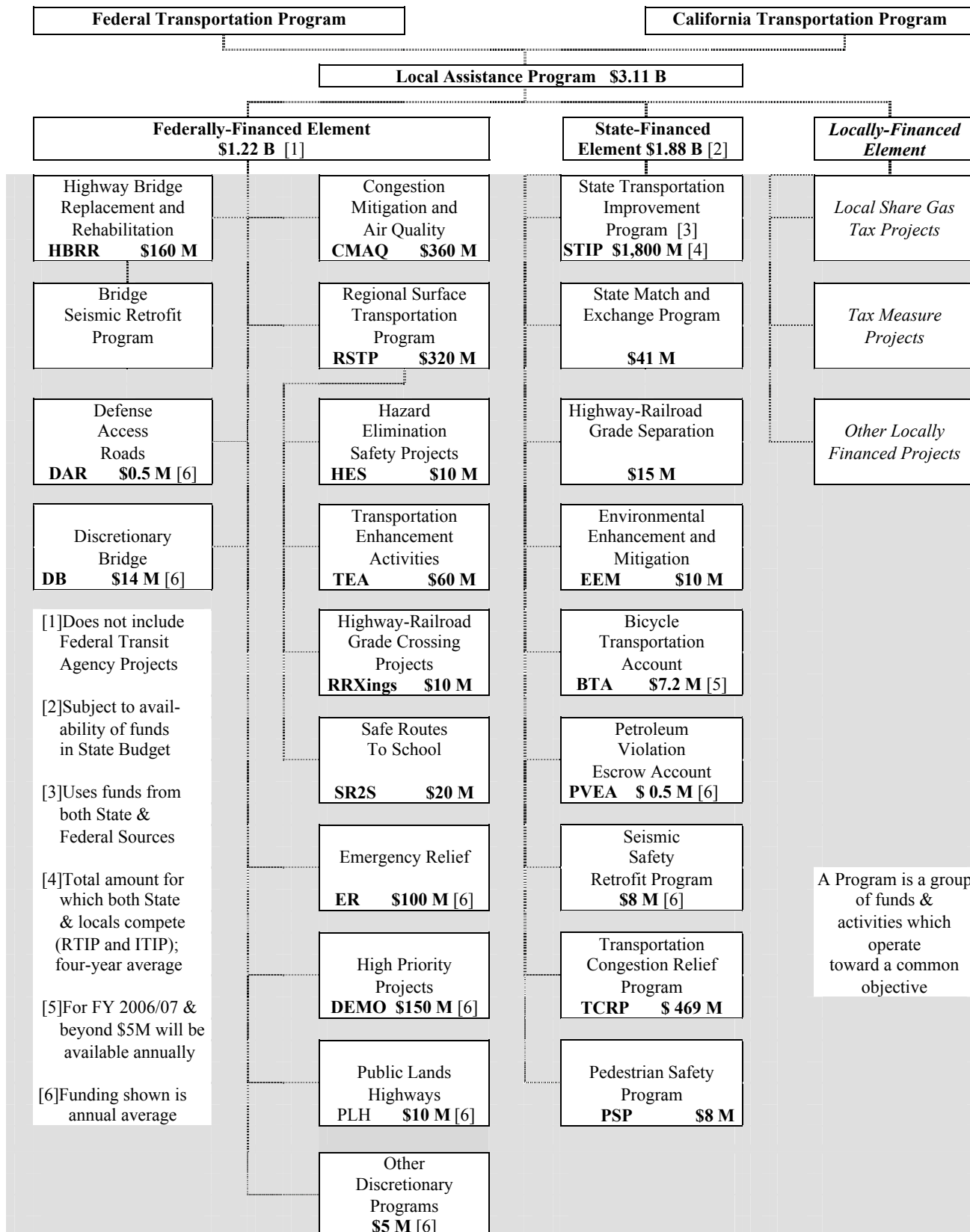
LAPG Item	Change
Exhibit 1-D, page 1-13	Updated District Local Assistance Offices addresses.
Chapter 5 Exhibit 5-A, page 5-17	Under item 2. Transportation Control Measures (TCMs) of the Previously Eligible Activities: changed item (x) to... <i>including bikeways for the safety and convenience of bicyclists, ...</i>
Chapter 8 Exhibit 8-A, page 8-19	Item number 1 of <i>Ten Eligible Transportation Enhancement Activities</i> : 3 rd paragraph, changed <i>Class II Bicycle Lanes</i> to <i>Class II Bikeways (Bike Lanes)</i> . 6 th paragraph, updated phone number of the Caltrans Bicycle Coordinator and added the website of the Division of Design for reference.
Chapter 8 Exhibit 8-A, page 8-48	Under <i>General Merit Criteria</i> list Item number 2 first paragraph: replaced <i>bicycle route</i> with <i>bikeway</i> .
Chapter 8 Exhibit 8-A, page 8-77	Updated reference to Caltrans Districts Local Assistance contacts in the Appendix.
Chapter 21, Table of Contents	Updated the Table of Contents to reflect the changes.
Chapter 21.1 (Introduction) page 21-1	Added third paragraph defining “bicycle commuter”.
Section 21.2 (Applicants) pages 21-1, 2	Changes and additions were made to Section 21.2 regarding the Bicycle Transportation Plan process and period of funding eligibility.
Section 21.3 (Project Categories) page 21-2	Changes and additions were made to Section 21.3 to clarify eligible project activities, right of way acquisition, and CEQA clearance.
Section 21.4 (Rating Factors and Criteria) page 21-3	Changes and additions were made to Section 21.4 to provide project examples in questions 4 and 5, and a list of other considerations used to evaluate BTA project applications.
Section 21.5 (Funding Consideration) page 21-3, 4	Changes and additions were made to Section 21.5 to clarify funding amounts, allocation, and reimbursement.
Section 21.7 (Design Standards) page 21-4	Added non-motorized transportation design reviewer in the Sacramento Headquarters Division of Design.
Section 21.8 (Status Reports) page 21-4	Updated reference to <i>Project Status Report</i> (formerly Exhibit 21-C, now Exhibit 21-E).

Section 21.9 (Schedule) page 21-4	Changes were made to Section 21.9 to clarify the BTA process and schedule. Updated references to <i>Caltrans District Local Assistance Offices</i> (formerly Exhibit 21-D, changed to Exhibit 21-F) and <i>District BTA Evaluation Form</i> (Exhibit 21-C).
Section 21.11 (References) page 21-5	Updated the list of references.
Exhibit 21-A, page 21-7, 8, 9,	Changes were made to Exhibit 21-A, <i>Bicycle Transportation Plan and Bicycle Transportation Account Procedures</i> to clarify the BTP and BTA process.
Exhibit 21-B, pages 21-11, 12, 13	Changes were made to Exhibit 21-B, <i>Project Application Form</i> , to streamline the application process, clarify project evaluation criteria questions 4 and 5, CEQA compliance, and project screening criteria.
Exhibit 21-C, page 21-15	The new Exhibit 21-C, <i>District BTA Evaluation Form</i> replaced former Exhibit 21-C <i>Project Status</i> , which was moved to Exhibit 21-E. The new exhibit was added to help DLAE evaluate BTA project applications.
Exhibit 21-D, page 21-17	The new Exhibit 21-D <i>Bicycle Transportation Plan Checklist</i> replaced the former Exhibit 21-D, <i>Caltrans District Local Assistance Offices</i> , which was moved to Exhibit 21-F. The new exhibit was added to help applicants determine if their BTP complies with Streets and Highways Code Section 891.2.
Exhibit 21-F, page 21-21	Updated Exhibit 21-F, <i>Caltrans District Local Assistance Offices</i> .

AUTHORITIES AND REFERENCES

- *Streets and Highways Code*, Section 890 - 894.2, Section 2106
http://www.leginfo.ca.gov/.html/shc_table_of_contents.html
- *Caltrans Highway Design Manual*, Chapter 1000
<http://www.dot.ca.gov/hq/oppd/hdm/hdmtoc.ht>
- Chapter 834, Statutes of 2000 (SB 1772) <http://www.leginfo.ca.gov/bilinfo.html>
- American Association of State Highway and Transportation Officials (AASHTO), *Guide for the Development of Bicycle Facilities 1999*.

EXHIBIT 1-A STATE & FEDERAL PROGRAMS AVAILABLE FOR LOCAL TRANSPORTATION PROJECTS



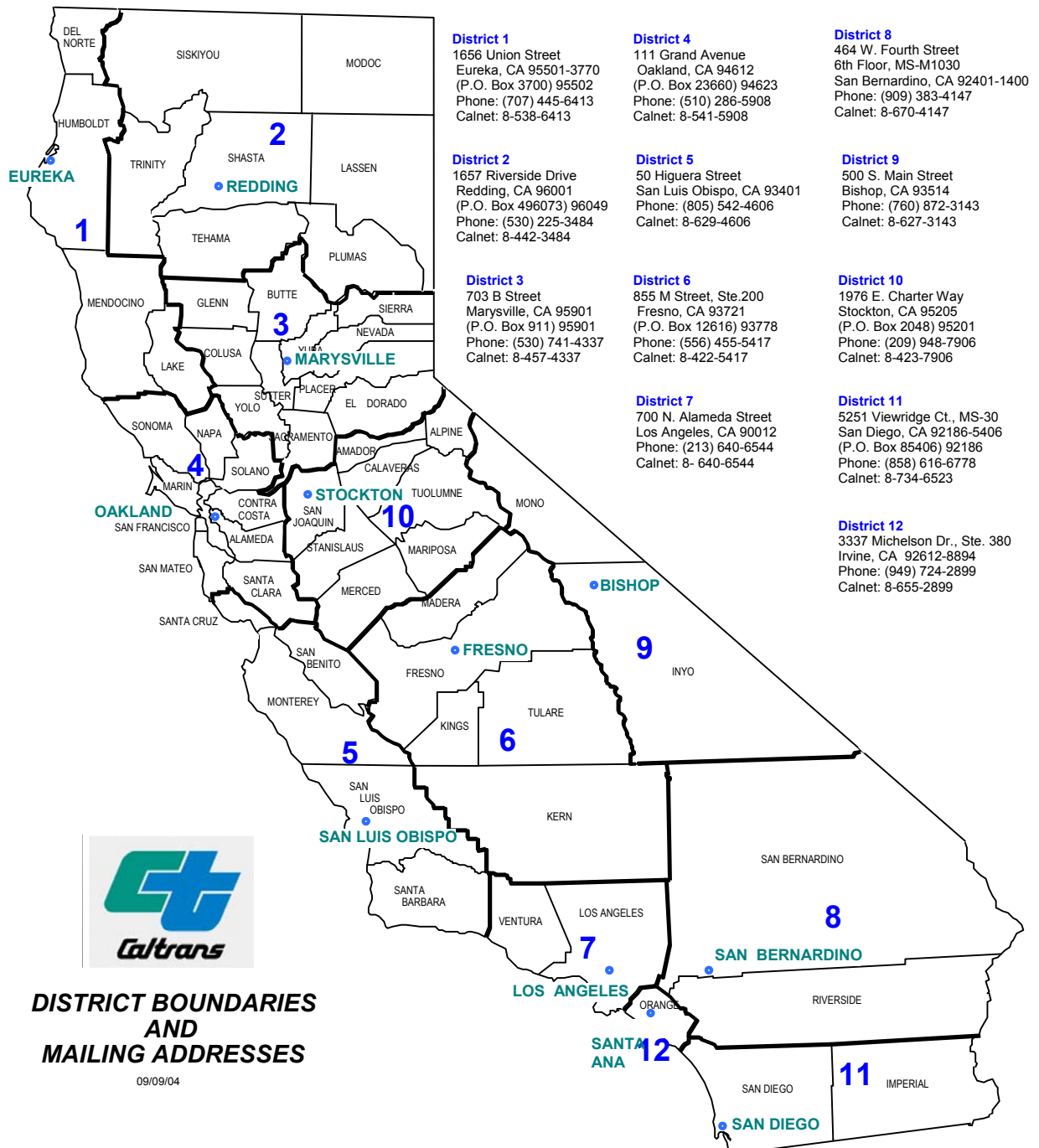
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EXHIBIT 1-B LOCAL ASSISTANCE PROGRAMS

Chapter	Program	Eligible Uses of Funds
4	Surface Transportation Program (STP)	Broad variety of transit and highway (includes streets and roads) projects
5	Congestion Mitigation and Air Quality (CMAQ)	Projects which contribute towards attainment of Clean Air Act requirements
6	Highway Bridge Replacement & Rehabilitation (HBRR)	Bridge replacement, rehabilitation, painting, and bridge rail replacement
7	Seismic Safety Retrofit	Remedy structural seismic design deficiencies of public bridges
8	Transportation Enhancement Activities (TEA)	Projects that enhance quality-of-life, in or around transportation facilities
9	Hazard Elimination Safety (HES)	Safety improvement projects on all public roadways
10	Railroad/Highway At-Grade Crossing	Eliminating hazards to vehicles and pedestrians at existing railroad crossings
11	Disaster Assistance (Emergency Relief)	Repair and restoration of damaged transportation facilities after a disaster
12.1	High Priority Projects	Projects initiated by Congress at the request of constituents
12.2	Public Lands Highways (PLH)	Projects that are within, adjacent to, or provide access to public land
12.3	Scenic Byways	Planning and enhancement funds provided for scenic byways
12.4	Discretionary Bridge	Program on hold - recommend using HBRR funds
12.5	Defense Access Roads (DAR)	Federal government program to mitigate defense installations and activities
14	Flexible Congestion Relief (FCR)	No new funding is available through this program
15	State/Local Transportation Partnership Program (STLPP)	No new funding is available through this program
16	Traffic Systems Management (TSM)	No new funding is available through this program
17	TSM Match	No new funding is available through this program
18	Optional Federal Exchange and State Match Programs	Exchanging local STP & TEA funds for state \$ & providing state \$ to locals
19	Grade Separation	Eliminating highway-rail crossing at grade with a grade separation
20	Environmental Enhancement and Mitigation (EEM)	Mitigate the environmental impacts of new or modified transportation facilities
21	Bicycle Transportation Account (BTA)	For bikeways and related facilities, planning, safety and education
22.1	Petroleum Violation Escrow Account (PVEA)	Projects that save or reduce energy
23	State Transportation Improvement Program (STIP)	Any transportation project that is approved by the RTPAs/MPOs and accepted by the CTC
24	Safe Routes to School (SR2S)	Pedestrian/bicycle school safety projects on all roadways
25	Traffic Congestion Relief Plan (TCRP)	Projects that relieve congestion, provide for the safe and efficient movement of goods, and provide inter-modal connectivity of transportation systems throughout California

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EXHIBIT 1-D DISTRICT LOCAL ASSISTANCE OFFICES



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- (vii) programs to limit or restrict vehicle use in downtown areas or other areas of emission concentration particularly during periods of peak use;
- (viii) programs for the provision of all forms of high-occupancy, shared-ride services;
- (ix) programs to limit portions of road surfaces or certain sections of the metropolitan area to the use of non-motorized vehicles or pedestrian use, both as to time and place;
- (x) programs for secure bicycle storage facilities and other facilities, including bikeways for the safety and convenience of bicyclists, in both public and private areas;
- (xi) programs to control extended idling of vehicles;
- (xii) reducing emissions from extreme cold-start conditions (newly eligible);
- (xiii) employer-sponsored programs to permit flexible work schedules;
- (xiv) programs and ordinances to facilitate non-automobile travel, provision and utilization of mass transit, and to generally reduce the need for SOV travel, as part of transportation planning and development efforts of a locality, including programs and ordinances applicable to new shopping centers, special events, and other centers of vehicle activity;
- (xv) programs for new construction and major reconstructions of paths, tracks or areas solely for the use by pedestrian or other non-motorized means of transportation when economically feasible and in the public interest. For purposes of this clause, the Administrator shall also consult with the Secretary of the Interior; and
- (xvi) programs to encourage remove of pre-1980 vehicles (EXCLUDED FROM ELIGIBILITY).

3. **Extreme Low-Temperature Cold Start Programs:** Projects intended to reduce emissions from extreme cold-start conditions are now eligible for CMAQ funding. This TCM is listed in 42 U.S.C. §7408 (f)(1) and was heretofore excluded from eligibility for CMAQ funding. Examples of such projects include:

- Retrofitting vehicles and fleets with water and oil heaters; and
- Installing electrical outlets and equipment in publicly-owned garages or fleet storage facilities (see also section below on public-private partnerships for a possible expansion to privately-owned equipment and facilities).

4. **Public-Private Partnerships:** The TEA-21 provides greater access to CMAQ funds for projects which are cooperatively implemented under agreements between the public and private sectors and/or non-profit entities. The new statutory language leads to several important changes regarding the eligibility of joint public-private initiatives. Nevertheless, it remains the responsibility of the cooperating public agency to apply for CMAQ funds through the metropolitan planning process and to oversee and protect the investment of Federal funds in a public-private partnership.

The TEA-21 requires that a legal, written agreement be in place between the public agency and private or nonprofit entity before implementing a CMAQ-funded project. This provision supersedes the requirement under previous guidance that private entities have public agency sponsors before

participating in CMAQ-funded projects. These agreements should clearly specify the use to which CMAQ funding will be put; the roles and responsibilities of the participating agencies; cost-sharing arrangements for capital investments and/or operating expenses; and how the disposition of land, facilities and equipment will be effected should the original terms of the agreement be changed, such as insolvency or a change in the ownership of the private entity.

While the new statute provides greater latitude in funding projects initiated by private or non-profit entities, it also raises concerns about the use of public funds to benefit a specific private entity. Since the public benefit is air quality improvement, it is expected that future funding proposals involving private entities will demonstrate strong emission reduction benefits. Furthermore, this new flexibility requires that greater emphasis be placed on an open, participatory process leading up to the selection of projects for funding. Because of concerns about the equitable use of public funds, ***FHWA and FTA consider it essential that all interested parties have full and timely access to the process of selecting projects for CMAQ funding.*** This should involve open solicitation for project proposals; objective criteria developed for rating candidate projects; and announcement of selected projects.

The TEA-21 also contains some restrictions and special provisions on the use of CMAQ funds in public-private partnerships. Eligible costs under this section may not include costs to fund an obligation imposed on private sector or non-profit entities under the CAA or any other Federal law. For example, CMAQ funds may not be used to fund mandatory control measures such as Stage II Vapor Recovery requirements placed on fuel sellers. Energy Policy Act requirements which apply to private sector entities are not eligible for CMAQ funds. However, if the private or non-profit entity is clearly exceeding its obligations under Federal law, CMAQ funds may be used for that incremental portion of the project.

Decisions over which projects and programs to fund under CMAQ should continue to be made through a cooperative process involving the State departments of transportation, affected MPOs, transit agencies and State and local air quality agencies. All projects funded with CMAQ funds must be included in conforming transportation plans and TIPs in accordance with the metropolitan planning regulations (23 CFR 450.300), the transportation conformity requirements (40 CFR parts 51 and 93), and NEPA requirements.

Activities eligible to be considered as meeting the local match requirements under the public-private partnership provisions include:

- Ownership or operation of land, facilities or other physical assets;
- Carrying out construction or project management; and
- Other forms of participation approved by the U.S. DOT Secretary.

Ten Eligible Transportation Enhancement Activities Categories***1. Provision of facilities for pedestrians and bicycles.***

This category provides an opportunity to create linkages in the existing transportation system by funding bicycle and pedestrian modes of travel. The bicycle and pedestrian modes connect people to activity centers, such as businesses, schools, shopping and recreation areas, and to other modes.

Projects accommodate bicyclists or pedestrians beyond or in addition to what is necessary for safe accommodation. This includes activities that enhance the transportation system through more aesthetic routing or design or improving other existing facilities to make them more usable for pedestrians and bicyclists, such as adding bicycle parking at a rail station. The purpose of the project must be for transportation but if a recreation experience is gained as a result of the transportation facility, this does not exclude the activity from consideration under this program.

Activities are not eligible where they are conducted as an incidental and routine part of new transportation projects in order to accommodate routine use by pedestrians and bicycles. Paved shoulders, wide curb lanes, sidewalks, and curb cuts are not eligible if incidental and routine to road construction or reconstruction; however, Class II Bikeways (Bike Lanes) are eligible. Projects may not be for maintenance activities or other replacement facilities; for example, pavement overlays on the same alignment and same width are not eligible.

While all projects must meet the Americans with Disabilities Act (ADA) mandate of accessibility, projects to retrofit existing facilities solely for conformance to accessibility standards in the California Building Code do not qualify. Construction of neighborhood sidewalks is regarded as normal work.

Projects for parking lots for *future* bicycle or pedestrian facilities are not eligible.

Questions about standards for bikeway designs or for bicycle facilities such as lockers and parking facilities can be addressed by the Caltrans Bicycle Coordinator at (916) 653-2750. Bikeway Planning and Design (Section 1000 of the Highway Design Manual) is available from the Caltrans Publications Unit, 1900 Royal Oaks Drive, Sacramento, CA 95815 and on the Division of Design website at: <http://www.dot.ca.gov/hq/oppd/hdm/hdmtoc.htm>

Example of Projects: Bicycle lockers at rail stations, bus depots, airports, recreation facilities. Bicycle lockers over and above standard policy at park and ride lots. Bikeways: Class I (bike paths); Class II (bike lanes); Class III (bike routes). Bikeways or pedestrian paths, which separate these modes of travel from the motorized transportation system. Bike racks on transit systems. Acquisition, development, and construction of separate pedestrian or bicycle facilities on or off road rights of way or in relation to transit facilities are examples of eligible activity, as are improvements to facilities, which go beyond basic access and mobility.

2. *Acquisition of scenic easements and scenic or historic sites.*

This category may be applied to purchase, donation, transfer, or trade of lands which possess significant aesthetic, historic, natural, visual, or open space values, acquisition of which enhances the transportation experience as part of the transportation system, or as a significant part of the transportation viewshed.

Funds may be used for transaction costs including appraisals, surveys, legal costs, or purchase costs. Acquisition of scenic or historic sites includes expenditure of funds for the purchase or the use of funds to accept the donation, transfer, or trade of (a) less than fee interests, for example, easements, in land which possess significant scenic, historic, or cultural values and (b) fee title acquisition of such lands and any property listed in the California Register of Historic Resources or eligible for listing in the National Register of Historic Places.

Land acquired for its scenic qualities must be maintained for its scenic qualities. Mechanisms must be in place to enforce significant scenic or historic values, and the project sponsor must agree to enforce mechanisms to preserve them. The owner of any property acquired must be willing to participate in a preservation covenant attached to the deed of the property. Such a covenant ensures that future work on the property will respect the scenic or historic integrity of the property.

Lands acquired for scenic purposes may not be developed in a manner that degrades the scenic character and quality of the site. Public access is allowed.

The purpose of the project must be for scenic or historic acquisition, but if a wildlife habitat or corridor is gained as a result of the acquisition, this does not exclude the activity from consideration under this program.

Scenic acquisition of a degraded area may be eligible on condition that the agency restores the site to scenic status within this or a later project phase. (Restoration does not have to be done using Federal enhancement funds.)

Where proposed projects appear to be primarily park improvements with incidental transportation enhancement activities incorporated into the park improvement project, the transportation enhancement will be eligible, but not the park improvement.

Example of Projects: Acquisition of Big Sur Viewsheds. San Pedro Point Viewshed. Acquisition of a historic bridge, historic transportation terminal, land around a historic site adjacent to a scenic highway. Acquisition of historic properties which qualify for protection under the National Register or California Register or are designated in a local register.

These are the activity-specific divisions and the possible points in each area. A project can score in only one of the specific divisions.

- | | | |
|----|--|------------------|
| 1. | Bicycle, Pedestrian, Abandoned Rail Right of way | 40 points |
| 2. | Historic/Archaeological | 40 points |
| 3. | Transportation Aesthetics and Scenic Values | 40 points |
| 4. | Water Pollution Due to Highway Runoff | <u>40 points</u> |
| | Total Possible Specific Score (1 Division only) | 40 points |

General Merit Criteria

Each application will be evaluated on the following general merit criteria:

1. *Regional and Community Enhancement* (50 points)

The project score in this area is derived from the project's primary effects – its intent and purpose – on the following elements.

- | | | |
|----|--|-------------|
| a. | Benefit to quality-of-life, community, environment. Examples might include provision of safe, aesthetic pedestrian facility at a rail station, removal of billboards on a rural scenic highway, provision for wildlife corridors or migration areas. | 0-10 points |
| b. | Increases access to activity centers, such as businesses, schools, recreational areas and shopping areas. Connects transportation modes, has multimodal aspects. Reinforces, complements the regional transportation system, fills deficiency in the system. | 0-8 points |
| c. | Implements goals in the regional transportation plan, or other adopted Federal, State, or local plans. Examples might include water quality plans or elements of general plans. | 0-8 points |

- | | | |
|----|---|------------|
| d. | Increases availability, awareness or protection of historic, community, visual or natural resources. | 0-8 points |
| e. | Degree of regional or community support. For example, letters of support from local interest groups and public bodies, additional match. | 0-8 points |
| f. | Encompasses more than one of the four activity-specific divisions. That is, the project has aspects of other activity-specific division(s) which would score meritoriously in and of themselves. There will be direct and intended public benefit from these merits; the benefits are not remotely related by function and proximity to the main project activity, or only suspected to occur by the main activity. | 0-8 points |

2. *Cost-effectiveness/Reasonable Cost (10 points)*

The project score in this area is a function of improved performance or productivity of the project as it relates to the annualized total project cost. Where the project does not lend itself to this type of analysis, the reasonableness of the cost should be established. How many people will use the enhancement? What is the length of the life cycle? For example, a bikeway that takes advantage of existing public land may be considered more cost-effective than one that purchases private property. In the same way, a project that has large preliminary engineering costs proportionate to the resultant enhancement may be considered less cost-effective, depending on the resulting use. Scarcity values, too, can enter into a “reasonable cost”, for instance, if a unique and valuable viewshed may be lost to pending development.

No preference will be given to overmatched projects.

Highly cost-effective	10 points
Reasonable cost or moderately cost-effective	6 points
Low cost-effectiveness	2 points
Not cost-effective/Not applicable	0 points

Who To Contact
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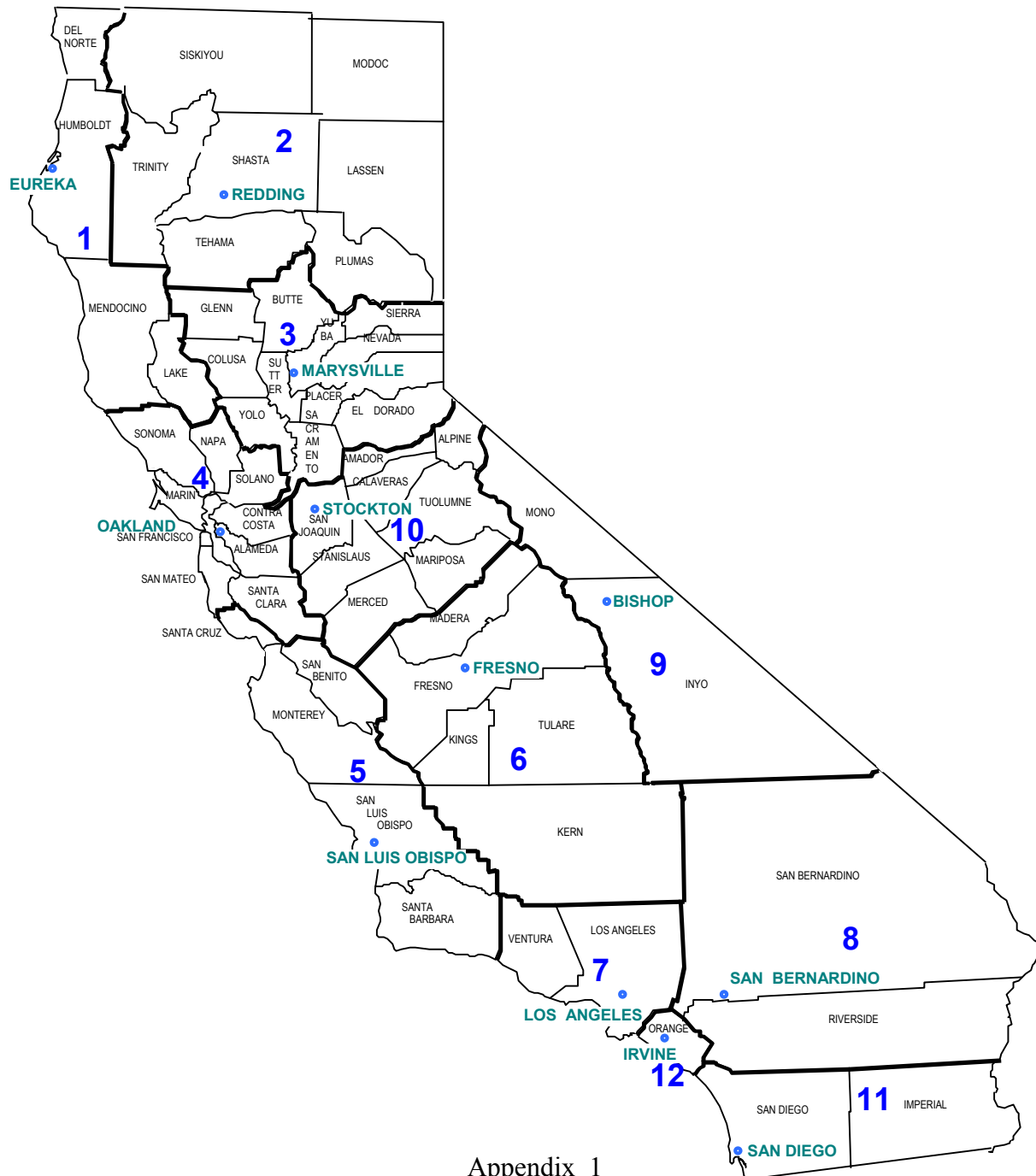
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CALTRANS DISTRICT BOUNDARY MAP



Appendix 1
Page 4

CHAPTER 21 BICYCLE TRANSPORTATION ACCOUNT (BTA)

CONTENTS

Section	Subject	Page Number
21.1	INTRODUCTION	21-1
21.2	APPLICANTS	21-1
21.3	PROJECT CATEGORIES	21-2
21.4	RATING FACTORS AND CRITERIA	21-2
21.5	FUNDING CONSIDERATIONS	21-3
21.6	MILESTONES	21-4
21.7	DESIGN STANDARDS	21-4
21.8	STATUS REPORTS	21-4
21.9	SCHEDULE	21-4
21.10	EVALUATIONS	21-5
21.11	REFERENCES	21-5

EXHIBITS

Exhibit	Description	Page Number
21-A	BICYCLE TRANSPORTATION PLAN AND BICYCLE TRANSPORTATION ACCOUNT PROCEDURES	21-7
21-B	BICYCLE TRANSPORTATION PROJECT APPLICATION	21-11
21-C	DISTRICT BTA EVALUATION FORM	21-15
21-D	BICYCLE TRANSPORTATION PLAN CHECKLIST	12-17
21-E	BICYCLE TRANSPORTATION ACCOUNT PROJECT STATUS REPORT	21-19
21-F	CALTRANS DISTRICT LOCAL ASSISTANCE OFFICES	21-21

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CHAPTER 21 BICYCLE TRANSPORTATION ACCOUNT

21.1 INTRODUCTION

The Bicycle Transportation Account (BTA) provides state funds for city and county projects that improve safety and convenience for bicycle commuters. The program is consistent with the Legislature's intent when it adopted the California Bicycle Transportation Act:

"...to establish a bicycle transportation system...designed and developed to achieve the functional commuting needs of the employee, student, business person, and shopper as the foremost consideration in route selection, to have the physical safety of the bicyclist and bicyclist's property as a major planning component, and to have the capacity to accommodate bicyclists of all ages and skills".

As used in this chapter, *"bicycle commuter"* means a person making a trip by bicycle primarily for transportation purposes, including, but not limited to: travel to work, school, shopping, or other destination that is a center of activity, and does not include a trip by bicycle primarily for physical exercise or recreation without such a destination.

The Bicycle Facilities Unit (BFU) in the Division of Local Assistance (DLA) administers the BTA.

21.2 APPLICANTS

Cities and counties are eligible to apply for BTA funds. A city or county may apply for funds on behalf of another local agency that is not a city or county. The city or county assumes responsibility for the BTA application and the proper use and expenditure of BTA funds.

To be eligible for BTA funds, a city or county must prepare and adopt a Bicycle Transportation Plan (BTP) that complies with Streets and Highways Code Section 891.2 and the following:

- The governing body of a city or county must adopt the BTP by resolution or certify that it is current and complies with Street and Highways Code Section 891.2.
- The city or county must submit the BTP to the appropriate Metropolitan Planning Organization (MPO) or Regional Transportation Planning Agency (RTPA) for review and approval for compliance with Streets and Highways Code Section 891.2 and the regional transportation plan (RTP).
- Following regional approval, the city or county must submit the BTP, the resolution adopting the BTP, and the letter of approval from the MPO/RTPA to the BFU for review and approval.
- BTP adoption establishes eligibility for five consecutive BTA funding cycles. Example: BTPs adopted in 2004 and submitted December 1, 2004; with an application for 2005/2006 BTA funding would establish eligibility for state fiscal years 2005/2006, 2006/2007, 2007/2008, 2008/2009, and 2009/2010. The state fiscal year begins on July 1 and ends on June 30 of the following year.

- Information described in Streets and Highways Code, Section 891.2 items (a) through (k) must be contained within the BTP.

Please see Exhibit 21-A, “Bicycle Transportation Plan and Bicycle Transportation Account Procedures” in this chapter for details on the BTP approval process.

21.3 PROJECT CATEGORIES

BTA projects are intended to improve safety and convenience for bicycle commuters, and can include, but are not limited to, any of the following:

- (a) New bikeways serving major transportation corridors
- (b) New bikeways removing travel barriers to potential bicycle commuters
- (c) Secure bicycle parking at employment centers, park-and-ride lots, rail and transit terminals, and ferry docks and landings
- (d) Bicycle-carrying facilities on public transit vehicles
- (e) Installation of traffic control devices to improve the safety and efficiency of bicycle travel
- (f) Elimination of hazardous conditions on existing bikeways
- (g) Planning
- (h) Improvement and maintenance of bikeways

Eligible project activities include:

- Project planning
- Preliminary engineering
- Final design
- Right of way acquisition
- Construction and/or rehabilitation

Cities and counties should submit applications only for those projects where right of way is free and clear of obstructions, encumbrances, disputes, and environmental hazards, and where cooperative agreements with organizations such as railroads, utility districts, flood control districts, coastal commissions, etc., have been executed.

BTA projects must be in compliance with the applicable provisions of the California Environmental Quality Act (CEQA) by the BTA application submittal date. The lead agency is responsible for preparing the required environmental documentation, making the appropriate environmental determination, and submitting it with the application.

Please see Exhibit 21-B “Project Application Form” in this chapter for the BTA application form.

21.4 RATING FACTORS AND CRITERIA

Eligible BTA projects are those that serve the functional needs of bicycle commuters. Accordingly, the BTA Evaluation Committee evaluates applications as Excellent, Good, Fair, Poor, or Ineligible according to the following criteria:

How well has the applicant demonstrated that the project:

- 1) Will be used primarily by bicycle commuters?
- 2) Has the potential to increase bicycle commuting?
- 3) Is the best alternative for the situation?
- 4) Improves bikeways and/or amenities that support bicycle commuting e.g., bicycle parking, lockers, showers, lighting, call boxes, maps, and bicycle safety education programs.
- 5) Provides or improves bikeway continuity to activity centers such as public buildings, transit terminals, business districts, shopping centers, schools, etc.
- 6) Is consistent with the applicable BTP.

Other considerations used in evaluating BTA project applications include:

- 1) Citizen and community involvement
- 2) Cost of project and cost-effectiveness
- 3) Geographic distribution
- 4) Land use, population density, and settlement patterns.
- 5) Local - State match ratio
- 6) Prior funding and project implementation.
- 7) Project readiness.
- 8) Project type on-road (Class II & III Bikeways)/off-road (Class I Bikeways)/other
- 9) Projects initiating a community bikeway network
- 10) Transportation interface with other modes of transportation
- 11) Trip purpose work, school, shop, social/recreational, other
- 12) Urban/Rural balance

21.5 FUNDING CONSIDERATIONS

In the 2001/2002 through 2005/2006 fiscal years, \$7.2 million of BTA funds will be available annually. In the 2006/2007 fiscal year and beyond, \$5 million of BTA funds will be available annually.

The Department of Transportation (Caltrans) allocates and disburses monies from the BTA according to the following priorities:

- To Caltrans the amounts necessary to administer the program not to exceed one percent of the funds expended per year.
- To cities and counties - the remaining funds available in the account for bikeways and related facilities, planning, safety, and education.

The BTA is a reimbursement program. Funds are allocated to cities and counties on a matching basis that requires the applicant to furnish a minimum of 10 percent of the total project cost. The amounts allocated to each project phase and the ratio of local funds to BTA funds in the BTA application will determine the project reimbursement amounts. No applicant shall receive more than 25 percent of the total amount transferred to the BTA in a single fiscal year.

BTA funds may be used, where feasible, to apply for and match federal grants or loans. Federal and state grants or loans (from sources other than the BTA) may be used, where feasible, for the minimum required 10 percent local match.

BTA funds are appropriated each fiscal year in the state budget. Encumbrance of funds must occur within the fiscal year of appropriation. The funds are then available for expenditure during the succeeding two fiscal years. Final invoices must be submitted to the District Local Assistance Engineer (DLAE) by April 1 of the third fiscal year.

21.6 MILESTONES

Please see Exhibit 21-A “Bicycle Transportation Plan and Bicycle Transportation Account Procedures” for BTA milestones.

21.7 DESIGN STANDARDS

All bikeway projects shall be designed and constructed in accordance with the *Highway Design Manual, Chapter 1000 Bikeway Planning and Design*. Cities and counties are encouraged to address questions regarding compliance with Chapter 1000 to the DLAE, the non-motorized transportation design reviewer in the Sacramento Headquarters Division of Design, or the Bicycle Facilities Unit.

21.8 STATUS REPORTS

Caltrans may ask city and county agencies to provide an annual status report for BTA projects.

Please see Exhibit 21-E “Project Status Report” in this chapter for a suggested status report format.

21.9 SCHEDULE

Each year, the BFU sends a BTA project solicitation memo to the DLAE (see Exhibit 21-F “Caltrans District Local Assistance Offices” in this chapter). The memo includes information about the upcoming BTA cycle and requests that the DLAE forward the information to all cities and counties in their respective district. Applications from local agencies are typically due to the DLAE the first working day of December. The DLAE also receives and evaluates all BTA applications submitted by cities and counties in their district according to the evaluation criteria in Exhibit 21-C “District Bicycle Transportation Account Evaluation Form” in this chapter and forwards the applications and evaluations to the BFU typically by the first working day of January.

The BFU convenes the BTA Evaluation Committee to evaluate project applications for compliance with the California Bicycle Transportation Act and forwards the evaluations and a list of projects recommended for funding to Department management for review. Department management reviews the application evaluations and develops an approved list of funded projects.

For specific BTA processes, see Exhibit 21-A, “Bicycle Transportation Plan and Bicycle Transportation Account Procedures” in this chapter.

21.10 EVALUATIONS

To determine the cost-effectiveness of the BTA program, Caltrans requests that city and county agencies provide an evaluation of the effectiveness of completed BTA projects when requested by the BFU.

21.11 REFERENCES

- *Streets and Highways Code*, Section 890 - 894.2, Section 2106
http://www.leginfo.ca.gov/.html/shc_table_of_contents.html
- Caltrans *Highway Design Manual*, Chapter 1000
<http://www.dot.ca.gov/hq/opd/hdm/hdmtoc.ht>
- Chapter 834, Statutes of 2000 (SB 1772)
<http://www.leginfo.ca.gov/bilinfo.html>
- American Association of State Highway and Transportation Officials (AASHTO), *Guide for the Development of Bicycle Facilities 1999*.

Note: The AASHTO document is for reference only. All Bicycle Transportation Account projects must comply with the requirements set forth in the Streets and Highways Code and the bikeway design standards in the Caltrans Highway Design Manual, Chapter 1000.

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BICYCLE TRANSPORTATION PLAN AND BICYCLE TRANSPORTATION ACCOUNT PROCEDURES

BICYCLE TRANSPORTATION PLAN (BTP) PROCESS

Responsible Unit	Action
DISTRICT	1. Following receipt of BTA application solicitation package from Bicycle Facilities Unit (BFU) (See step 3 in BTA Process), notifies city and county agencies of the deadline for submittal of BTA applications and Bicycle Transportation Plans (BTPs) needing BFU approval.
LOCAL AGENCY	2. Prepares BTP. 3. The governing body of the city or county adopts BTP by resolution. 4. Submits BTP to appropriate Metropolitan Planning Organization (MPO) or Regional Transportation Planning Agency (RTPA) for review and approval that it complies with Streets and Highways Code Section 891.2 and the regional transportation plan (RTP). 5. Submits BTP, adopting resolution, and MPO/RTPA letter of approval to BFU by BTA application deadline.
BFU	6. Reviews BTP and approves or disapproves per Streets and Highways Code Section 891.2 (See Exhibit 21-D "Bicycle Transportation Plan Checklist"). 7. Logs BTP, adopting resolution, and MPO/RTPA approval letter in BTP database. 8. Notifies local agencies of the results of plan review.

BICYCLE TRANSPORTATION ACCOUNT (BTA) PROCESS

Responsible Unit	Action
BFU	1. Determines amount of BTA funds available for programming. 2. Develops annual BTA application solicitation package and forwards package to districts typically by late summer/early fall.
DISTRICT	3. Sends BTA application solicitation package to cities and counties.

Bicycle Transportation Plan and Bicycle Transportation Account Procedures

- | | |
|--------------------------|--|
| LOCAL AGENCY | 4. Completes BTA application and sends signed original and one copy to the District Local Assistance Engineer (DLAE) typically by the first working day of December. The Department encourages applicants to contact the DLAE to ensure that all submitted BTA applications and information have been received. |
| DISTRICT | 5. Ensures application completeness, evaluates BTA applications according to evaluation criteria in Exhibit 21-C, "District Bicycle Transportation Account Evaluation Form" and forwards signed original application and Exhibit 21-C to BFU typically by the first working day in January. DLAE retains one copy of the application and Exhibit 21-C for district file. |
| BFU | 6. Reviews all submittals to determine applicant eligibility and application completeness, logs into database. BFU staff may contact an applicant or DLAE for information needed to make an eligibility determination. If an applicant is determined to be ineligible or the application is incomplete, the application will be rejected without evaluation. |
| BFU EVALUATION COMMITTEE | 7. Reviews all eligible and complete applications under a competitive process for bicycle commuter value and compliance with the California Bicycle Transportation Act. Forwards evaluations and a list of projects recommended for funding to Department management for review. |
| DEPARTMENT MANAGEMENT | 8. Reviews the application evaluations and the list of projects recommended for funding and develops an approved list of projects to be funded. |
| BFU | 9. Provides results of selection process on the Division of Local Assistance website at:
http://www.dot.ca.gov/hq/LocalPrograms/bta/btaweb%20page.htm .
Assigns BTA identification numbers to selected projects. |
| | 10. Develops Local Agency-State Agreement for each selected project. The Local Agency-State Agreement addresses project scope, schedule, cost, and reimbursement ratio. |
| ACCOUNTING | 11. Certifies availability of BTA funds. |
| BFU | 12. Signs agreements and sends to local agencies for signature. |

- | | | |
|--------------|-----|---|
| LOCAL AGENCY | 13. | Signs agreement(s), develops any required resolutions, and sends original executed agreement(s) and resolutions to BFU. Begins work on the projects after execution of the agreement(s). Construction may be performed by contract or local agency in accordance with the laws applicable to the local agency. |
| BFU | 14. | Retains a copy of executed agreements in BTA files and forwards originals to Accounting and a copy to the DLAE |
| ACCOUNTING | 15. | Provides original executed agreements to Office of State Controller. |
| LOCAL AGENCY | 16. | Develops plans, specifications and estimates, and certifies that project complies with standards in the <i>Highway Design Manual, Chapter 1000</i> . Sends copy to BFU and DLAE if requested. |
| | 17. | Submits progress pay invoices with itemized expenditures to BFU (step 20). Progress pay invoices are subject to DLAE inspection and approval upon BFU request. Submits final invoice with itemized expenditures to DLAE (step 18) by April 1 of the year that the funds are scheduled to lapse. Invoices must be original, signed by the responsible person in the local agency, submitted on local agency letterhead with local agency's address, current date, and DLAE signature block addressed to the California Department of Transportation. |
| DISTRICT | 18. | Inspects project for completion and conformance with the approved Local Agency-State Agreement and, if applicable, Chapter 1000 of the Highway Design Manual. |
| | 19. | Accepts project, validates invoice with signature block or stamp, and submits to BFU recommending payment of funds to local agency, |
| | | OR |
| | | Rejects the project and notifies local agency. Coordinates final project inspection with local agency until project is accepted and notifies BFU. |
| BFU | 20. | Reviews and approves submitted invoice and forwards it to Accounting with request for payment to local agency. |
| ACCOUNTING | 21. | Requests payment to local agency from the Office of State Controller. |
| CONTROLLER | 22. | Pays local agency. |

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BICYCLE TRANSPORTATION ACCOUNT

PROJECT APPLICATION

I. APPLICATION INFORMATION

Applicant Agency _____

Address _____

City _____ County _____ State _____ Zip Code _____

Contact Person _____ **Phone** _____ **E-Mail** _____

State Legislative Districts: Senate _____ Assembly _____ Caltrans District _____

II. PROJECT INFORMATION

Project Title: _____

Project Location: _____

Project Type: (Check all that apply)

Class I Bikeway ☐ **Class II Bikeway** ☐ **Class III Bikeway** ☐ **Other** ☐

Project Description: In the space provided, describe the project scope, purpose, and need. Include a map to scale with north arrow detailing the project location, length, limits, land uses, and destinations served.

[illegible]

III. EVALUATION CRITERIA

(To be completed by applicant)

Eligible BTA projects are those that serve the functional needs of bicycle commuters. Accordingly, BTA project applications will be evaluated as Excellent, Good, Fair, Poor, or Ineligible according to the following criteria. In the space provided, describe how well the proposed project fulfills the following program criteria.

1. Will bicycle commuters be the primary users of the proposed project?

2. Does the proposed project have the potential to increase bicycle commuting?

3. Is the proposed project the best alternative for the situation?

4. Will the proposed project improve bikeways and/or amenities that support bicycle commuting e.g. bicycle parking, lockers, showers, lighting, call boxes, maps, and bicycle safety education programs?

5. Will the proposed project provide or improve bikeway continuity to activity centers such as public buildings, transit terminals, business districts, shopping centers, and schools, etc.?

IV. Project Budget

Funding	Engineering/Design	Right of Way	Construction	Total	Percent
BTA Funds					
Local Funds					
Other					
Total					

V. Project Screening Criteria**A. Local Match**

1. Will applicant provide the local share as indicated in the project budget table above?
(Note: *The minimum local share required is 10% of the total project cost.*) Y ☐ N ☐
2. What is the projected completion date of the proposed project? Month _____ Year _____

B. Bicycle Transportation Plan (BTP)

1. Name of BTP applicant is using to establish eligibility for BTA funding?
_____ BTP Adopted Date: _____
2. Name of Regional Transportation Planning Agency (RTPA)
_____ BTP Approval Date: _____
3. Is the BTP approved by the BFU? Y ☐ N ☐
4. Is the applicant submitting a BTP for BFU approval? Y ☐ N ☐
5. Is the project consistent with the BTP? Y ☐ N ☐
6. BTP page number identifying the proposed project. Page No.: _____

C. Evidence of California Environmental Quality Act (CEQA) Compliance

BTA projects must be in compliance with the applicable provisions of the California Environmental Quality Act (CEQA) by the BTA application submittal date. The lead agency is responsible for preparing the required environmental documentation, making the appropriate environmental determination, and submitting it with the application.

VI. Application Signature

An authorized representative of the applicant agency must sign the application. The undersigned affirms that the statements contained in the application package are true and complete to the best of their knowledge.

Name Date

Title

Distribution: Local agency sends original and one copy to the DLAE. DLAE forwards original to BFU and retains copy for district file.

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DISTRICT BTA EVALUATION FORM

District: _____ Date: _____ Fiscal Year: _____

Local Agency: _____

County: _____

Project Title: _____

How well has the applicant demonstrated that the project:

1. Will be used primarily by bicycle commuters?

Excellent ☐ Good ☐ Fair ☐ Poor ☐ Ineligible ☐

2. Has the potential to increase bicycle commuting?

Excellent ☐ Good ☐ Fair ☐ Poor ☐ Ineligible ☐

3. Is the best alternative for the situation?

Excellent ☐ Good ☐ Fair ☐ Poor ☐ Ineligible ☐

4. Will improve bikeways and/or amenities that support bicycle commuting e.g. bicycle parking, lockers, showers, lighting, call boxes, maps, and bicycle safety education programs?

Excellent ☐ Good ☐ Fair ☐ Poor ☐ Ineligible ☐

5. Will provide or improve bikeway continuity to activity centers such as public buildings, transit terminals, business districts, shopping centers, schools, etc.?

Excellent ☐ Good ☐ Fair ☐ Poor ☐ Ineligible ☐**COMMENTS:**

Distribution: DLAE sends copy to HQ BFU together with the originally signed Project Application Form.

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Bicycle Transportation Plan Checklist

BTP TITLE: _____				
LOCAL AGENCY: _____			ADOPTED : Yes__ No__ DATE _____	
REGIONAL TRANSPORTATION PLANNING AGENCY: _____			APPROVED: Yes__ No__ DATE _____	
Yes	No	Requirement	Page No	Comments
		(a) The estimated number of existing bicycle commuters in the plan area and the estimated increase in the number of bicycle commuters resulting from implementation of the plan.		
		(b) A map and description of existing and proposed land use and settlement patterns which shall include, but not be limited to, locations of residential neighborhoods, schools, shopping centers, public buildings, and major employment centers.		
		(c) A map and description of existing and proposed bikeways.		
		(d) A map and description of existing and proposed end-of-trip bicycle parking facilities. These shall include, but not be limited to, parking at schools, shopping centers, public buildings, and major employment centers.		
		(e) A map and description of existing and proposed bicycle transport and parking facilities for connections with and use of other transportation modes. These shall include, but not be limited to, parking facilities at transit stops, rail and transit terminals, ferry docks and landings, park and ride lots, and provisions for transporting bicyclists and bicycles on transit or rail vehicles or ferry vessels.		
		(f) A map and description of existing and proposed facilities for changing and storing clothes and equipment. These shall include, but not be limited to, locker, restroom, and shower facilities near bicycle parking facilities.		
		(g) A description of bicycle safety and education programs conducted in the area included within the plan, efforts by the law enforcement agency having primary traffic law enforcement responsibility in the area to enforce provisions of the Vehicle Code pertaining to bicycle operation, and the resulting effect on accidents involving bicyclists.		
		(h) A description of the extent of citizen and community involvement in development of the plan, including, but not limited to, letters of support.		
		(i) A description of how the bicycle transportation plan has been coordinated and is consistent with other local or regional transportation, air quality, or energy conservation plans, including, but not limited to, programs that provide incentives for bicycle commuting.		
		(j) A description of the projects proposed in the plan and a listing of their priorities for implementation.		
		(k) A description of past expenditures for bicycle facilities and future financial needs for projects that improve safety and convenience for bicycle commuters in the plan area.		

Distribution: Copy to DLAE and HQ BFU

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BICYCLE TRANSPORTATION ACCOUNT
PROJECT STATUS REPORT

Date: _____

Agency: _____

BTA Number (from Local Agency-State Agreement): _____

Description of Project: _____

Original Projected Award Date: _____ Current Projected Award Date: _____

If “current” award date is not the same as “original” award date, explain reason for change:

Original Estimated Project Completion Date: _____ Current Estimated Project Completion Date: _____

If “current” completion date is not the same as “original” completion date, explain reason for change:

Original Cost Estimate: _____ Cost Estimate as of this Report: _____

Reason for difference (increase or decrease).

_____Other Comments:

Prepared by: _____

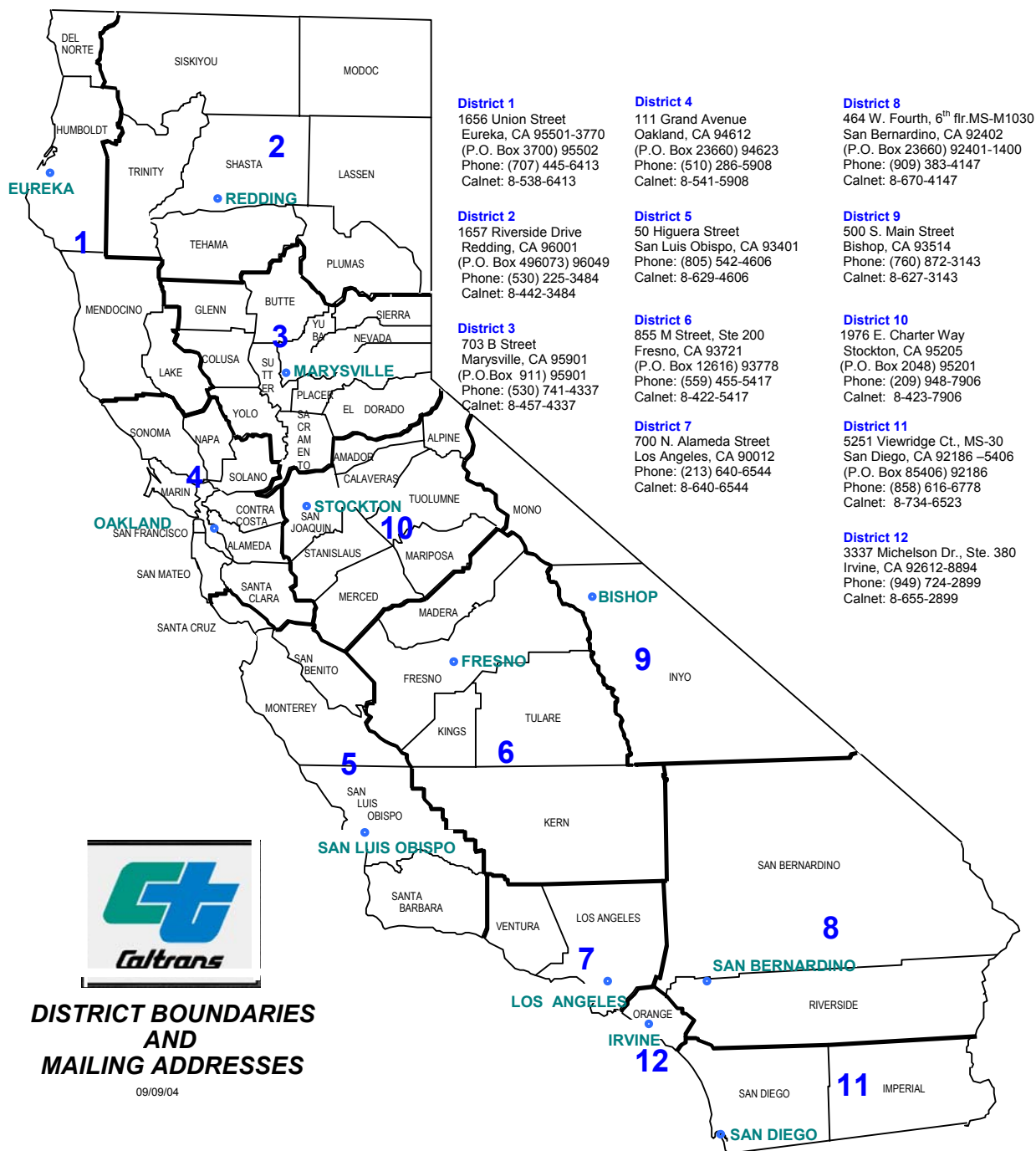
Telephone: _____ E-mail: _____

Distribution: Copy to DLAE and HQ BFU

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CALTRANS DISTRICT LOCAL ASSISTANCE OFFICES

STATE OF CALIFORNIA
Business, Transportation and Housing Agency
Department of Transportation



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